

BLI2018: CATS Database Tutorial

Theresa Triplett
Issues Management Program Manager
Office of Contract Assurance

In this Tutorial, you will learn:

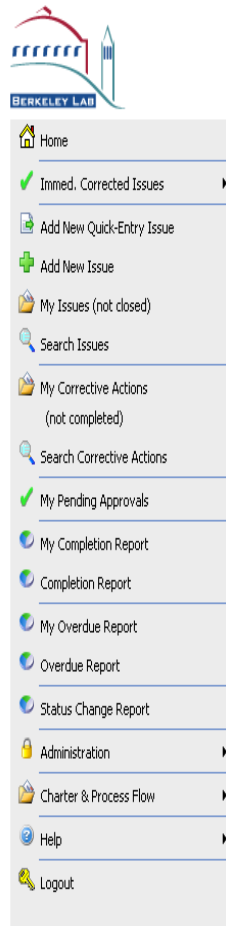
Click on the link to go directly to the section.

1. [The purpose of CATS \(Page 3\)](#)
2. [How to enter an Issue and Corrective Action \(Pages 4-11\)](#)
3. [How to enter an Extension Request \(Page 12\)](#)
4. [How to enter a completion date & close an issue \(Page 13\)](#)
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The Purpose of CATS

The CATS database (CATS) is an online tool that enables LBNL employees to document, track, and resolve issues and their associated corrective actions.

All issues and associated corrective actions, regardless of risk level and means of identification, are entered into CATS and tracked through resolution. This satisfies our DOE contract and LBNL policy requirements.



CATS Database

LAWRENCE BERKELEY NATIONAL LABORATORY

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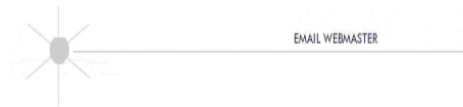
[Click here to document Immediately-Corrected Items](#)

[Click here to document Issues and Corrective Actions](#)

The CATS database is an online tool used to identify, track, and resolve issues and their associated corrective actions as well as determine the effectiveness of those corrective actions. All LBNL personnel are responsible for the identification of issues that may require correction, improvement, or management attention and the submission of an Issues Management form via the CATS database.

This database, accessible from anywhere in the world, enables LBNL employees to identify, track, manage, resolve, and search for issues and associated corrective actions. This database is designed with extensive reporting capabilities so that the data captured in the database may be used to gauge effectiveness and implementation of the program.

For questions regarding the use of this database, please contact cats@lbl.gov.



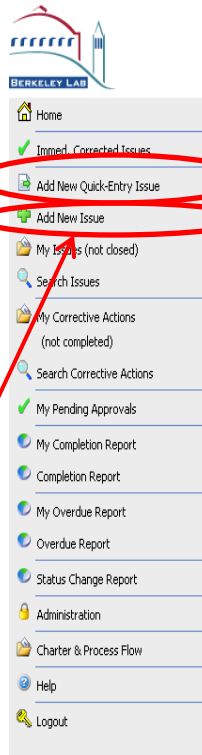
Website developed by the Information Applications Group ~ Lawrence Berkeley National Lab.

Entering an Issue & Associated Corrective Action

There are two ways to enter an issue and an associated corrective action(s) in CATS.

The “Add New Quick-Entry Issue” option is designed for Users who are unfamiliar with the database and/or employees who want to notify his/her Division Safety Coordinator of a problem that needs to be addressed. Once this entry is completed, your Division Safety Coordinator (or a designee) will receive a notification from the CATS Database to complete and route your entry for approval and resolution.

The “Add New Issue” option is the common method used to document a new issue and an associated corrective action(s) from start to finish, with no hand-off.



CATS Database

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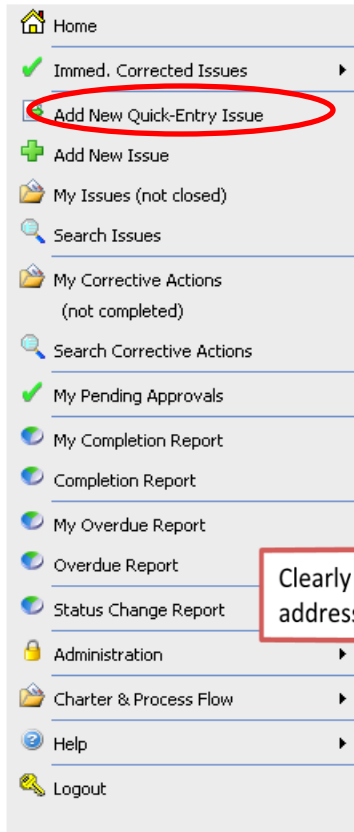
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EMAIL WEBMASTER

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Add New Quick-Entry Issue



CATS Database

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Use this screen to enter a new Quick Entry Issue. When finished, click the Save button at the bottom of the screen to route to the .

Fields marked with an * must be completed.

* Division: LD - Laboratory Directorate

From the drop down menu select the Division that owns the issue and is responsible for overseeing the resolution of the issue.

* Issue Description: The four-drawer lateral file cabinet is not secured.

Document the issue in sufficient detail so that it is clear what needs to be resolved.

Building: 090C - Building: 090C

Room: 0105

Location Comments:

Suggested Corrective Action: Seismically brace the file cabinet.

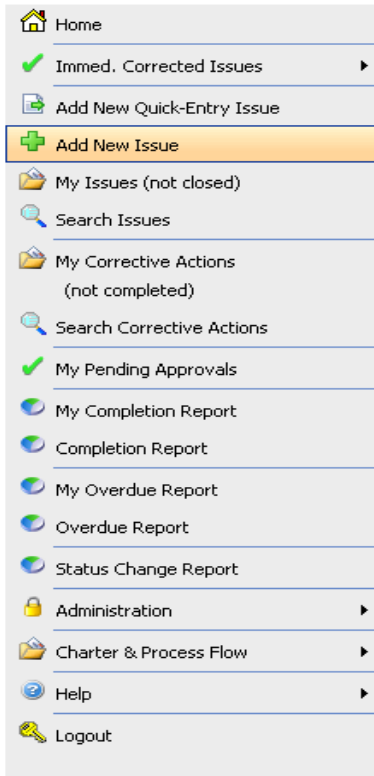
Clearly identify the corrective action to address the issue.

For the drop down menu, select the Building and correlating room where the issue was identified or resides.

Route

Click on the "Route" button to send the entry to your Division Safety Coordinator (or designee).

Add New Issue



Logged in as Triplett,Theresa A



CATS Database

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Use this screen to enter a new issue into the CATS database or update an existing one. Fields marked with an asterisk (*) indicate required fields. When finished, click the Save button at the bottom of the screen.

* Issue Type:

- Select--
- Adverse Condition
- Best Practice
- Ethics
- Worker Safety & Health

Select the Issue Type from the drop down menu.

Adverse Condition are issues that are operational (e.g. financial, human resources, facilities) or safety-related deficiencies, which are identified through a formal assessment, and actual or near miss adverse events.

Best Practices are issues that are suggested process improvements or a division or management initiative.

Ethics (A placeholder: not for use at this time.)

Worker Safety and Health are safety and health-related issues, which are typically identified through safety walk-arounds, employee discovery, and actual or near miss adverse events.



- Home
- Immed. Corrected Issues
- Add New Quick-Entry Issue
- Add New Issue**
- My Issues (not closed)
- Search Issues
- My Corrective Actions (not completed)
- Search Corrective Actions
- My Pending Approvals
- My Completion Report
- Completion Report
- My Overdue Report
- Overdue Report
- Status Change Report
- Administration
- Charter & Process Flow
- Help
- Logout



CATS Database

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Use this screen to enter a new issue into the CATS database or update an existing one. Fields marked with an asterisk (*) indicate required fields. When finished, click the Save button at the bottom of the screen.

Printable Version

Issue No.: 8621 Status: New Entry

Superseded?: ☐

Entered By: Triplett,Theresa A Entry Date: 06/20/2011 Division: Laboratory Directorate

*Discovery Date: 06/01/2011

* Initiator: Gravois,Melanie C

* Division: LD - Laboratory Directorate

Department: AO - Office of Institutional Assurance

* Issue Type: Adverse Condition

Program/Project: Department Safety Checks

This box (along with the superseded corrective action) is primarily used by the ORPS Coordinator and the Project Management Office. **Most users will not check the "Superseded?" box.**

1. Enter the "Discovery Date" by typing in the date that the issue was identified / discovered, or by clicking on the calendar symbol and selecting the appropriate date on the calendar.
2. If different from the "Entered By", enter the person's name that identified the issue by typing his/her last name in the "Initiator" field and selecting the appropriate name from the drop down menu.
3. Select the Division that owns the issue and is responsible for resolving the issue from the drop down menu in the "Division" field.

Note: Completion of the "Department" and "Program/Project" fields are optional.



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* Assess. Type: --Select--

* Issue Description:

- External Review
- Internal Audit - Finance
- Internal Audit - Program/Process
- Internal Independent Review
- Internal Self-Assessment
- Safety Walk-around
- N/A

Issues may be identified through several assessment mechanisms. Below is a brief discussion of the types of assessments.

External Review is performed by an external party independent of LBNL, for example a Berkeley Site Office or regulatory agency review.

Internal Audit (Finance or Program/Process) is performed by Internal Audit Services.

Internal Independent Review is performed by a LBNL organization independent of the assessed program management team and staff.

Internal Self-Assessment is performed by senior managers, line managers and staff responsible for the assessed area.

Safety Walk-around is performed by line management and/or a Program Manager to evaluate performance and adherence to established controls.

* Assess. Type: Internal Independent Review

* Assess. Title/No. 2011 Annual Safety Review

* Find. Title/No. 0010

1 2 3

When an Assessment Type is selected, the "Assess. Title/No." and "Find. Title/No." fields are displayed. These fields require mandatory completion for the following Assessments (as denoted by the *): External Review, Internal Audit, and Internal Independent Review.

1. Select the appropriate Assessment Type from the drop down menu in the "Assess. Type" field.
2. Enter the Assessment Title and/or Number as documented on the cover of (or within) the Assessment Report.
3. Enter the Finding Title and/or Number as documented in the Assessment Report.

Entering the Issue Description and location information is the same as a Quick-Entry Issue.

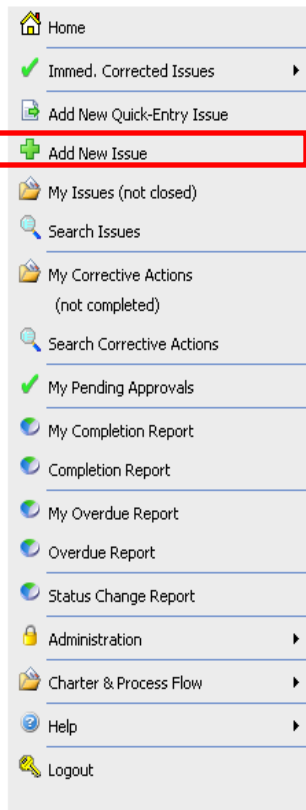
* Issue Description: During assessment activities, the assessment team observed that a Class 3B laser was in use without having an associated approved Activity Hazard Document. This is contrary to PUB 3000 Chapter 16 laser requirements.

Building: 071 - Building: 071 Room: 0146 Location Comments: Add Location

Selected Location(s)

☐ 071-0146

Delete Location(s)



* Risk Level: --Select--
Criteria Not Met: --Select--
High
Medium
Low
De Minimis

Select the appropriate “Risk Level” in accordance with LBNL/PUB-5519(1) from the drop down menu. Below are examples of the issues that would fall into each risk levels:

- **High: Significant Adverse Condition (SAC) event, PAAA NTS-Reportable Incident, ORPS Category 1, R, or 2 Incident, Type A or B Accident or other significant issues as designated by management.**
- **Medium: Adverse Conditions, PAAA Internally-Reportable Incident, ORPS Category 3 Reportable Incident or other Issues as designated by management.**
- **Low: ORPS Category 4 Reportable Incident, or Worker Safety & Health Issues that do not fall into High or Medium Risk Levels.**
- **De Minimis: Issues where the level of risk is too small to be concerned with.**

Select the appropriate “Issue Category” from the drop down menu. The issue category is a general description of how the issue would be classified or the area of the deficiency.

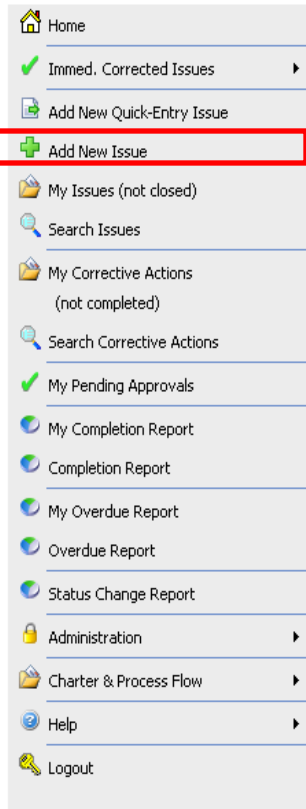
* Risk Level: Medium * Issue Category: Lasers * Trend Code: A Policies/Procedures/Instructions Not Used
Criteria Not Met: PUB 3000, Chapter 16, 16.2.2 Laser Requirements

Enter the policy, procedure or standard reference that was not followed / adhered to in the “Criteria Not Met” field.

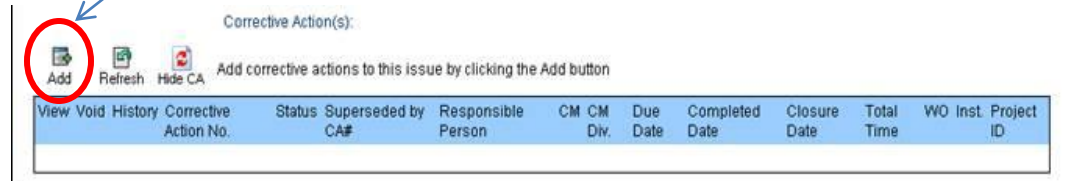
Select the appropriate “Trend Code” from the drop down menu. The trend code represents the **apparent or root cause** of the issue. A list of the Trend Codes can be found in the Help menu option in the CATS Database.

External Reporting or Significant Adverse Condition? ☒
☐ PAAA NTS 10CFR851 ☒ PAAA INT 10CFR851 ☐ ORPS CAT 1/R/2 ☐ Significant Adverse Condition
☐ PAAA NTS 10CFR835 ☐ PAAA INT 10CFR835 ☐ ORPS CAT 3/4 ☐ Type A/B
OSHA Reference:

If applicable and known, check the “External Reporting or Significant Adverse Condition” box in accordance with LBNL/PUB-5519 (1). Generally, the PAAA or ORPS Coordinator or OCA will complete this section or provide the Enterer with guidance on how to complete this section.



Add a Corrective Action by clicking on the “Add” icon. Click on the “Add” icon to add additional corrective actions associated with an issue.



Corrective Action No.: 8622-1 Status: New Entry

Superseded?: ☐

Entered By: Triplett, Theresa A Entry Date: 06/20/2011

* Corrective Action: Develop an Activity Hazard Document per PUB 3000, Chapter 16 laser requirements.

1

2 * Due Date: 07/29/2011 Completed Date:

3 * Responsible Person: Gravois, Melanie C

Cognizant Manager: Chernowski, John G Division: Laboratory Directorate

4 Alternate CM:

1. Upon display of Corrective Action screen, clearly identify the corrective action to be implemented to eliminate the issue and prevent recurrence (as applicable). The corrective action should be specific, measurable and reasonable.
2. Enter the appropriate “Due Date” for the corrective action by typing in the date, or clicking on the calendar symbol and selecting a realistic date on the calendar.
3. In the “Responsible Person” field, identify the appropriate person responsible for completing the corrective action item (or overseeing its resolution) by typing the last name and selecting the appropriate name from the drop down menu. The Cognizant Manager (CM) and Division will be entered automatically based on the Responsible Person.
4. If the Responsible Person is matrixed to a different organization and the CM is different than the one identified, type in the last name of the appropriate CM and select his/her name from the drop down menu in the “Alternate CM” field.



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If a work request is required to complete this corrective action, click on the “Work Request Req’d?” checkbox. The due date for a corrective action with a work request must be at least 60 days from the date of entry.

Work Request Req’d? ☒

Institutional WR? ☒

Project ID:

If the work request is considered to be institutional work, click on the “Institutional WR?” checkbox. “Institutional” work requests are related to services, equipment or physical space that is not owned, managed or operated by a Division.

If the work request is not Institutional, skip the “Institutional WR?” checkbox, and type in the appropriate project ID number in the “Project ID” field.

Upload Objective Evidence:

Url:

Delete	File Name / Url	Uploaded By	Uploaded Date
	ISM Get Well Plan.doc	Gravois,Melanie C	02/05/2009
	http://ehswprod2.lbl.gov/AHD/start.aspx	Gravois,Melanie C	02/05/2009

Upload objective evidence of corrective action completion, by clicking on the “Browse” button to search for the document to be uploaded, select the document to be uploaded, and click the “Upload File” button **AND/OR** enter the URL address and click the “Add URL” button. Repeat if multiple documents and/or URLs are to be added.

Comments:

In the “Comments” field, enter comments pertaining to the issue/corrective requirements, objective evidence and/or status in clear, concise statements, as applicable.

Subject Matter Experts are automatically added as Reviewers for Worker Safety and Health and Adverse Condition Issue Types. If additional Reviewers are needed, select the additional Reviewer by typing in the last name and selecting the appropriate name from the drop down menu. Click the “Add Reviewer” button.

Review/Approval:

Delete	Reviewer	Status	Review Date	Comments
	Reyes,Elizabeth Ann			
	Wells,Willard H			

Once all of the applicable fields have been completed and all applicable Reviewers have been identified, click the “Route” button to send to the Reviewers for approval.

Entering an Extension Request

Extension requests are only available for approved and “Open” status corrective actions and can be made by the Enterer or Responsible Person.

A justification for extending the original due date is required and must meet Lab policy, as detailed in LBNL/PUB 5519(1) .

The screenshot shows a web form for entering an extension request. The fields are numbered as follows:

- 1**: Extension Requested By: (Dropdown menu showing 'Toth, Csaba')
- 2**: Extension Due Date: (Date field showing '03/24/2009' with a calendar icon)
- 3**: * Justification: (Text area containing: 'LOASIS is in the midst of developing its Safety Analysis Document and Accelerator Safety Envelope, expected to be completed on 2/27/09. Until these items are completed, lower level formal work authorizations, such as the Activity Hazard Document will not be developed.'
- 4**: Review/Approval: (Dropdown menu) and **4**: Add Reviewer (Button)

Delete	Reviewer	Status	Review Date	Comments
	Barat, Kenneth L	Pending Approval		
	Chernowski, John G	Pending Approval		
	Gravois, Melanie C	Pending Approval		
	Lidia, Steven M	Pending Approval		

1. Identify the person requesting the extension by typing in the last name and selecting the appropriate name from the drop down menu in the “Extension Requested By” field.
2. Enter the new due date in the “Extension Due Date” field for the corrective action by typing in the date, or clicking on the calendar symbol and selecting the appropriate date on the calendar.
3. In the “Justification” field, type in the justification for the extension request.
4. If additional reviews are needed, identify the additional Reviewers by typing in the last name and selecting the appropriate name from the drop down menu, and then click the “Add Reviewer” button.
5. Click the “Route” button to route to the Reviewer(s) for approval of the extension request.

Entering a Completion Date

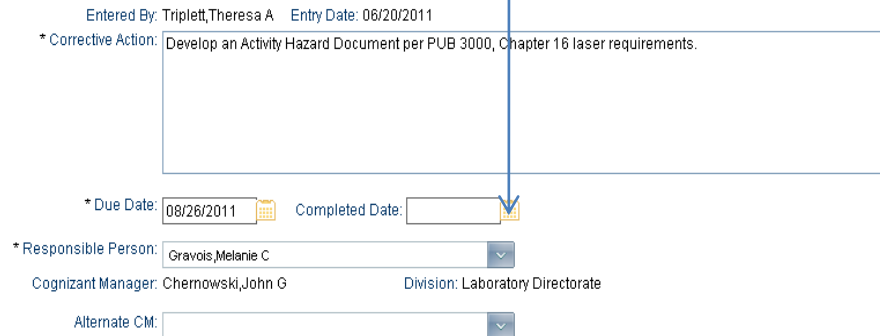
Once the objective evidence is verified, the Responsible Person retrieves the applicable corrective action by selecting the “My Corrective Actions” option or “Search Corrective Actions” option on the Menu.

From the list of corrective actions, click on the corresponding “View” to open the applicable corrective action.

Once all corrective actions associated with an issue are completed, the issue and associated corrective action(s) have a “Closed” status.

Corrective actions associated with a Work Request will be closed automatically when the work order is closed in Maximo.

Enter the “Completed Date” for the corrective action by typing in the actual completion date, or clicking on the calendar symbol and selecting the appropriate date on the calendar.



Entered By: Triplett,Theresa A Entry Date: 06/20/2011

* Corrective Action: Develop an Activity Hazard Document per PUB 3000, Chapter 16 laser requirements.

* Due Date: 08/26/2011 Completed Date:

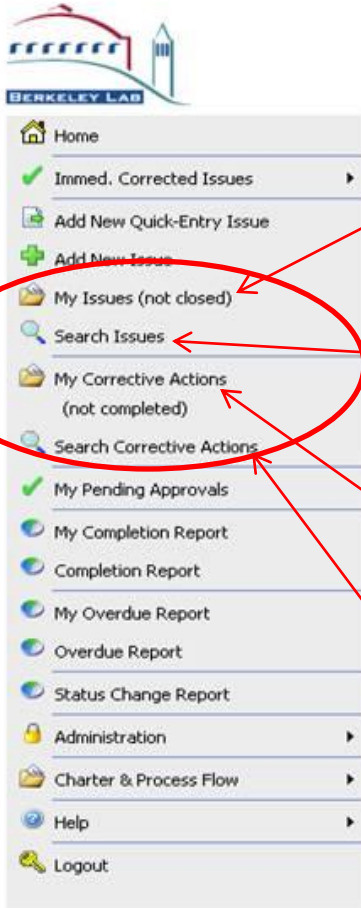
* Responsible Person: Gravois,Melanie C

Cognizant Manager: Chernowski,John G Division: Laboratory Directorate

Alternate CM:

Search Options

There are various ways to search for information specific to issues and corrective actions. Multiple choices may be made in drop-down boxes by holding the “Ctrl” button down and selecting the options desired.



An “Enterer” may view and edit issues and associated corrective actions that he/she has entered by selecting the “My Issues (not closed)” menu option.

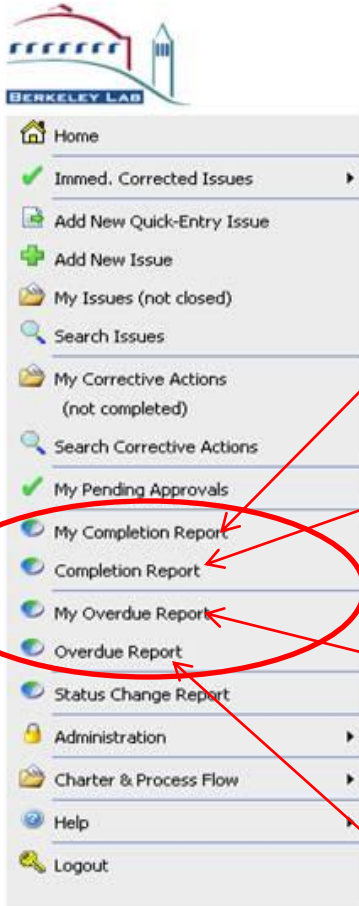
This search focuses on information specific to an issue, using selected fields. In addition, use this search option to find out other information, such as all of the issues owned by a Division, all issues by Issue Category and all issues by risk level.

A “Responsible Person” may access his/her open issues and corrective actions by clicking on the link provided in the automatic email notification **OR** by selecting the “My Corrective Action (not completed)” menu option.

This search focuses on information specific to a corrective action, using selected fields. In addition, use this search option to find out other information, such as all of the corrective actions: by Division, Responsible Person, issue type, risk level or corrective actions with work orders.

Report Options

There are a number of reports available via the CATS Database to use to manage the implementation / completion of corrective actions by Division and/or Responsible Person.



This report is a Pie Chart that shows the completion of your corrective actions.

This report is a Pie Chart that shows the status of corrective actions implementation by Divisions and responsible parties.

This report is a Pie Chart that shows the status of your overdue corrective actions, as well as corrective actions that are coming due within 30, 60, 90 days, and greater than 90 days.

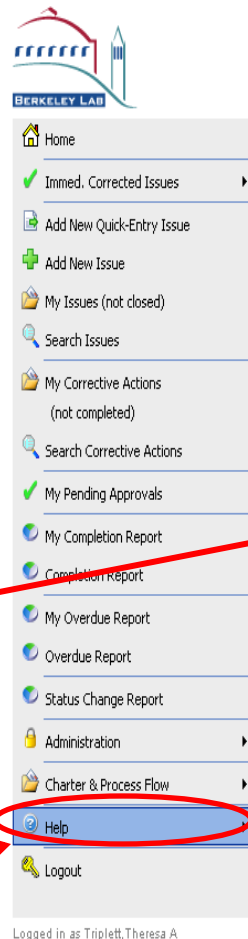
This report is a Pie Chart showing the status of overdue corrective actions by Division, Department and/or Responsible Person, as well as corrective actions due within 30, 60, 90 days, and greater than 90 days.

Resources

The CATS Database is managed by the LBNL Office of Contractor Assurance (OCA) and maintained by the LBNL IT Division.

Users may contact OCA for guidance on how to complete the fields in the database or request guidance on database protocol via this email address.

The Help option on the CATS Database Menu page also contains additional resources.



Logged in as Triplett, Theresa A



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